

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.

Group Art Unit: 1754

Serial No.: 10/033,028

Filed: December 28, 2001

Title: COMPOSITIONS AND ARTICLES OF MANUFACTURE

**STATEMENT FOR SUPPLEMENTAL INFORMATION DISCLOSURE**  
**UNDER 37 C.F.R. 1.97(e)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**IDENTIFICATION OF SUPPLEMENTAL INFORMATION DISCLOSURE**  
**STATEMENT FOR WHICH THIS STATEMENT IS BEING MADE**

1. This statement is being made for the Supplemental Information Disclosure Statement
- ☒ accompanying this statement.
- ☐ filed \_\_\_\_\_.

**STATEMENT**

2. I (We), the person(s) signing below state:
- that no item of information contained in the supplemental information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to the knowledge of the person signing the statement after making reasonable inquiry, was known to any individual designated in § 1.56 more than three months prior to the filing of the supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).

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**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on October 25, 2004.

  
Serena Beller

**IDENTIFICATION OF PERSON(S) MAKING THIS STATEMENT**

3. The person making this statement is  
(check each applicable item)  
☐ the inventor(s) who signs below

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Signature of inventor

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(Type name of inventor who is signing)

- ☐ a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the inventor, with the assignee, or with anyone to whom there is an obligation to assign the application (37 C.F.R. § 1.56(c)) and who signs below.

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Signature of Person Making Statement

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(type name of person who is signing)

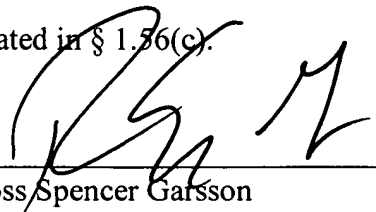
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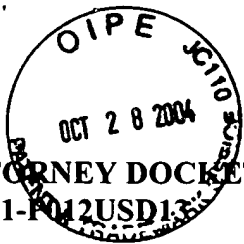
Address of person who is signing

- ☒ the practitioner who signs below on the basis of the information:  
(check each applicable item)

- ☐ supplied by the inventor(s)  
☒ supplied by an individual designated in § 1.56(c).  
☐ in the practitioner's file.

WINSTEAD SECHREST & MINICK P.C.  
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\_\_\_\_\_  
Ross Spencer Garsson  
Reg. No. 38,150



ATTORNEY DOCKET NO.  
11321-P012USD13

PATENT  
SERIAL NO. 10/033,028

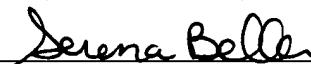
UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.  
Group Art Unit: 1754  
Serial No.: 10/033,028  
Filed: December 28, 2001  
Title: COMPOSITIONS AND ARTICLES OF  
MANUFACTURE

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CERTIFICATE OF MAILING

I hereby certify that this Supplemental Information Disclosure Statement with SB/08 A-B (Form 1449) and 2 references being deposited with the U.S. Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on October 25, 2004.



SERENA BELLER

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This Supplemental Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Supplemental Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

**ATTORNEY DOCKET NO.**  
**11321-P012USD13**

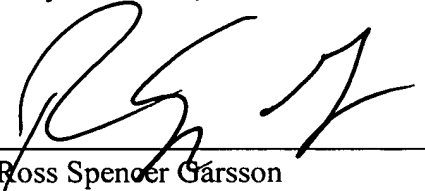
**PATENT**  
**SERIAL NO. 10/033,028**

A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Applicant believes that no fee is due at this time. However, the Assistant Commissioner is hereby authorized to credit any overpayment or for inadvertently omitted fees to Deposit Account No. 23-2426 (11321-P012USD13).

Respectfully submitted,

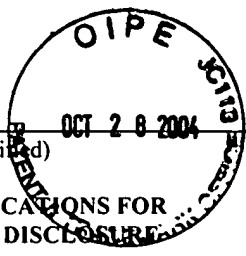
By: \_\_\_\_\_

  
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ATTORNEYS FOR APPLICANTS

264488v.1



In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Serial No.: 10/033,028  
Applicants: Richard E. Smalley et al.  
Filing Date: December 28, 2001  
Group: 1754  
Atty. Docket No.: 11321-P012USD13

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
____AAA						
____ABA						
____ACA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation <u>Yes</u> <u>No</u>
____ADA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner  
Initial

\_\_\_\_AEA Kiang, Ching-Hwa et al. "Carbon Nanotubes With Single-Layer Walls," *Carbon*, 1995, Vol. 33, No. 7, pp. 903-914.  
\_\_\_\_AFA Kiang, Ching-Hwa et al. "Structural Modification of Single-Layer Carbon Nanotubes with an Electron Beam," *J. Phys. Chem.*, 1996, Vol. 100, pp. 3749-3752.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.